



Washington, D.C. 20505

7/9/01

2 July 2001

Dr. Michael J. Kurtz
Assistant Archivist for Records
Services - Washington, D.C.
National Archives and Records Administration
8601 Adelphi Road
College Park, Maryland 20740-6001

Dear Dr. Kurtz:

Attached you will find our progress report detailing the steps we have taken to implement the recommendations proposed in the March 2000 National Archives and Records Administration (NARA) Evaluation Report, "Records Management in the Central Intelligence Agency (CIA)." The answers in our progress report also address issues raised in three letters from NARA to the Director, Office of Information Management, dated 17 October 2000, 7 December 2000, and 19 March 2001, respectively.

The Agency has made a great deal of progress in its efforts to improve record keeping practices since our letter to the Archivist of 5 September 2000. In fact, as the attached report indicates, we are confident that we have completed 30 of the 36 recommendations contained in your evaluation. Attached are some Agency notices, policy documents and procedures issued specifically to address needed changes to records management practices in CIA. The notices are referenced in the enclosed report. Other material, referenced in the report but not enclosed, can be reviewed at our Agency. A copy of this letter and the progress report has been copied to a 3.5" diskette and enclosed as you requested.

Dr. Michael J. Kurtz

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[REDACTED]

We would like to thank David Langbart, of the Life Cycle Management Division, for his continued assistance. Through personal visits to CIA and telephonic exchanges, he has helped us to identify the actions and/or materials that are necessary to satisfy many of the recommendations contained in your evaluation report.

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We look forward to NARA's concurrence that we have met the requirements for those 30 recommendations we believe are completed. If you have questions, please contact [REDACTED] Chief of the Records and Classification Management Group, or me. [REDACTED] can be reached on [REDACTED] my number is [REDACTED]

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Sincerely,

[REDACTED]

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Deputy Chief,
Information Management Services

Enclosure

2 July 2001

**CIA Progress Report Concerning the Recommendations
Contained in the March 2000 NARA Evaluation of "Records
Management in the Central Intelligence Agency (CIA)."**

Preface:

There has been a major reorganization in the CIA that disestablished the Directorate of Administration (DA). Although the details of the new reorganization are yet to be completed, the Office of Information Management (OIM) and elements of the Directorates of Intelligence and Operations may be merged to establish a new Information Management (IM) organization reporting to the CIA Chief Information Officer (CIO).

The CIA's Executive Director placed on hold the further transition of the former DA offices to the Working Capital Fund (WCF). Accordingly, OIM will not pursue its transition to the WCF as reported in my letter of 5 September 2000.

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This remains
a fundamental part of the CIA Records Management Strategy.

- Recommendation I/1:

Ensure that there are sufficient IMOs in both OIT and the Directorates to implement the recommendations in this report.

Review workloads and staffing levels to determine whether or not IMOs should be assigned to organizations where day-to-day records management duties are currently handled by POCs.

CIA Response:

Complete.

The Agency is currently working under a model of one dedicated IMO per Agency component. There are three pilot operations where the IMOs are located in a "center" providing a full range of services to personnel in several components. In March 2001, the Directorate of Intelligence (DI), which had deployed DI careerists to serve as IMOs, elected to transfer both slots and personnel to OIM thereby ensuring that IM personnel (deployed to the DI) are of the highest caliber and that incumbents benefit from belonging to a uniform IM career service. In this transfer, the DI reestablished at least one position and upgraded all the IMO slots. With this decision, OIM now provides qualified IMOs to four of the five Agency directorates. The DO IMOs have been part of that directorate's career service, but that may change under the reorganization mentioned above. In either construct, DO IMOs adhere to both Federal and Agency regulations governing records management. More recently, OIM received authority to hire ☐ new IM professionals to staff IM positions throughout the Agency and/or replace retiring IMOs.

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- Recommendation I/2:

After they have completed agency-required records management training classes, require IMO's to periodically take additional training to ensure their familiarity with records issues, policies, and procedures.

CIA Response:

Complete.

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[REDACTED] Each directorate IMO is required to identify the training each component IMO needs in order to meet the requirements of the position to which he/she is assigned and to be prepared for assignments of greater complexity and responsibility. Additionally, the OIM Curriculum Board (comprised of the Agency senior IM officers) advises the Director of OIM and the Dean of Information Management Institute (IMI), OIM, on the training and education programs that IMOs must attend (whether offered in-house or outside CIA).

- Recommendation I/3:

Develop a one-day course dealing with recordkeeping responsibilities of program staff including the application of approved records schedules to their files and basic records concepts such as distinguishing records from non-record materials.

CIA Response:

Complete.

Training on records management responsibilities is offered to every new employee entering on duty with CIA. Additionally, records management training also is offered in two Agency courses directed respectively at employees with three years of service and with 15 years of service. In early 2000, OIM launched the

Information Management Computer-Based Training (CBT) program. The CBT has been made available to every Agency staff and contract employee through CIA's intranet. The program identifies and demonstrates (through interactive tests) the recordkeeping responsibilities for employees at all levels. Further, OIM is negotiating the addition of a records management module into two training courses, one on ethics (for government employees) and the other on information system security (INFOSEC). The courses are presented annually, and attendance is mandatory for all employees. Records Management training is presented continuously throughout an employee's career, which meets the spirit of this recommendation without the need for a separate dedicated eight-hour course.

- Recommendation I/4:

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CIA Response:

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- Recommendation I/5:

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CIA Response:

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• Recommendation I/6:

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CIA Response:

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• Recommendation I/7:

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CIA Response:

Complete.

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• Recommendation II/1:

Ensure that employees, including Deputy Directors and other high-level decision makers, are aware of requirements in Federal law and regulation to document and maintain in appropriate files all policy and decision-making actions, including those discussed via electronic mail (e-mail) or during telephone conversations.

CIA Response:

Complete.

As noted in our response under Recommendation I/3, above, we have established a variety of training venues to reach CIA employees at all levels throughout their careers.

Additionally, in early 2001, OIM generated three notifications to employees: an Employee Bulletin (sent to all contract and staff employees) that addressed "Records Responsibilities of Employees and Managers" (Attachment B); a "What's News" (the Agency newsletter) article on the same topic as the Employee Bulletin (Attachment C); and a memorandum to the Agency's Executive Director and four Deputy Directors entitled "Records Responsibilities of Senior Officials of the Central Intelligence Agency". These instructions include the definition of a "record" as well as the requirements for making and preserving records. In

the Bulletin, we defined records quite broadly as "cables, memoranda, e-mail, meeting minutes, instant messaging, audio and video recordings, and speeches." Although, we did not specifically mention "correspondence and intelligence reports"² in this Bulletin, they are manifest in the categories listed. We intend to reissue this instruction on a periodic basis and will expand the definition of Agency records accordingly. Finally, the OIM CBT training course provides specific guidance for handling "personal papers."

- Recommendation II/1a:

E-mail communications that meet the definition of records should be retained in a recordkeeping system.

CIA Response:

Complete.

CIA has well-established procedures for the capture and appropriate use of e-mail records

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Moreover, the three issuances referenced in our response to Recommendation II/1, above, makes specific reference to the preservation of e-mail as Agency records. A copy of our "E-Mail Quick Reference Guide" is enclosed. (Attachment E). The Proactive Electronic Records Management (PERM)³ system, the Agency records management application, will enable employees to capture e-mail records into an official approved electronic recordkeeping system. In addition to the regulations mentioned above, the OIM CBT (see our Response to Recommendation I/3, above) also identifies e-mail as a potential record that requires preservation.

² Your letter of 19 March 2001 to the Director, Office of Information Management requested that our bulletin to CIA employees include correspondence and intelligence reports as examples of CIA records.

³ The PERM application captures, organizes, and preserves electronic document objects originated at or received by a computer terminal, including e-mail, word-processed documents, HTML pages, spreadsheets, et al.

- Recommendation II/1b:

Telephone conversations should be documented through memoranda to the file.

CIA Response:

Complete.

In addition to the recently published issuances noted in our response to Recommendation II/1, above, the OIM CBT (also see our response to Recommendation I/3, above) specifically addresses documenting important telephone conversations.

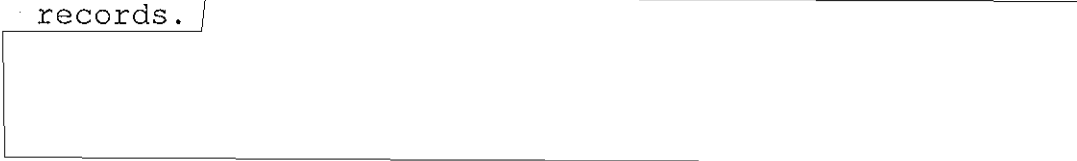
- Recommendation II/2:

Ensure that employees follow CIA guidance requiring the creation and maintenance of files to document agency activities.

CIA Response:

Complete.

The duty of each component IMO is to ensure that records are made and preserved to facilitate the component business and document its actions. In addition to the training courses and CBT mentioned above, a component IMO can and does provide tailored instruction and guidance to office personnel of all rank on proper recordkeeping. Each IMO is involved in an informal inspection process in the normal course of business serving as an IM consultant to users, developers, and managers. Daily exchanges permit the IMO to present guidance to each employee regarding the proper and adequate creation and maintenance of records.



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- Recommendation II/3:

Monitor the implementation of the "Agency File Guide" to ensure that it is effective and meets the needs of the Directorates.

CIA Response:

Complete.

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The Agency File Plan is being used by the PERM application that is being deployed across the Agency (also see our Response to Recommendation II/1a, above). In addition, the Electronic Recordkeeping System (ERKS) Certification process, approved by the IPB in July 2000 as the mechanism for certifying automated information systems (AIS) as an electronic recordkeeping system, also requires system records be categorized according to the Agency File Plan.

- Recommendation II/4:

Ensure that adequate indexes are created where necessary and that staff who need to use them have familiarity with them.

CIA Response:

Complete.

The Agency ERKS Certification Process and Information Technology Streamlining (the process by which systems are approved for operation on the CIA computer infrastructure) require that systems have indices in order to retrieve and describe business records. OIM developed PERM to address the Agency's desktop originated electronic records; the Catalog of Databases (CATDB) is an on-line inventory of Agency databases; and AIRRS (the ARCINS/IPS Retirement Replacement System) database provides an index of all the records held at the Agency Records Center (ARC).

- Recommendation II/5:

Require the timely creation of indexing information concerning individuals of foreign intelligence or foreign counterintelligence interest following guidance in the existing DO instruction.

CIA Response:

Complete.

The Directorate of Operations (DO) branch responsible for completion of the records index increased its staff substantially, primarily with contractor support. The DO is working on an automated tool that will assist analysts with the extraction of person names to complete the index record.

- Recommendation II/6:

Inspect new accessions retired to the ARC to ensure that records are scheduled properly and to identify any preservation problems and needs, including compliance with CIA regulations concerning the use of acid-free folders for permanent series.

This review can either be conducted by component IMOs prior to shipment of records or by ARC staff as part of the accessioning process.

CIA Response:

Complete.

In 1999, the ARC began to review all accessions to ensure that records are preserved and properly scheduled. The ARC developed and currently utilizes the "New Permanent Retirement Job Quality Control/Preservation Checklist" which documents the inspection and correctness (appropriate application of the RCS and preservation techniques) of each retirement (Attachment G).

- Recommendation II/7:

Continue and extend the ARC preservation project. Implement a preservation project for older records held in locations other than the ARC.

CIA Response:

Complete.

The ARC checklist (see response to Recommendation II/6, above) will identify non-textual records held at the records center. In FY 2000, the ARC initiated a project to sample (biannually) microform media stored at the ARC. The project involves examining sample sets of film for evidence of deterioration. This project resulted in the relocation of all film-based records at the ARC to a cold room that meets the prevailing Federal temperature and humidity standards. Examination of the first sample set was completed and recorded in FY 2000. Re-examination of a sample of the baseline set as well as an additional sample will begin FY 2002.

The ARC has extended its preservation activities to extant records (film and paper) held in the facility. In addition to applying the "checklist" procedure to new accessions or returned loans, ARC personnel are systematically examining retired jobs for compliance with appropriate preservation standards. This inspection and preservation of older records, starting first with permanent records, will collect the metrics necessary to appropriately determine the costs for these activities.

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Services OIM would provide include converting damaged or deteriorating records to stable (permanent) media, repackaging media in acid-free containers, etc.

On 28 February 2001, OIM issued an Agency-wide Employee Bulletin to address "Non-Textual Records

Preservation." (Attachment H) In this Bulletin, office heads were provided the conditions under which media is to be preserved and safeguarded. The notification encourages the use of the ARC to retain inactive or low use records because of the preservation activities there. In addition, employees are directed to contact the component IMO for assistance on any preservation issue.

- Recommendation II/8:

(b)(3) Continue the recent initiatives to revitalize the vital records program. Ensure that [REDACTED]

IMOs continue reviewing older vital records in the ARC, and identifying more recent vital records.

CIA Response:

Complete.

(b)(3) [REDACTED] Vital records are to be stored at the Agency records center. In FY1999, the ARC staff reviewed and validated with the owning component and respective IMO the vital records held at that facility. OIM has identified and is acquiring the equipment to be stored at the ARC necessary to support reading/using vital records from this location.

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(b)(5) As part of the PERM records application deployment, each office will identify and tag vital records. [REDACTED]

- Recommendation II/9:

Consider conducting a mock emergency preparedness drill to ensure that, in an emergency, records are easily retrievable, all equipment needed to read the records is available, and that system documentation is adequate to operate any system that contains vital records.

CIA Response:

Complete.

As noted in our response to Recommendation II/8, above, [REDACTED]

[REDACTED] Periodically testing procedures, equipment and the viability of the data identified as "vital" are a part of this program.

- Recommendation III/1:

Review full text and skeleton schedules for declassification; provide full text schedules to NARA even if portions are security classified.

CIA Response:

Complete.

The CIA records control schedules will be forwarded to NARA the week of 2 July 2001. The appropriate Agency Information Review Officers (IROs) will review the schedules for declassification.

- Recommendation III/2:

Submit schedules for all unscheduled series, including series where records are now maintained electronically, particularly permanent series where paper documents are no longer printed out and filed.

CIA Response:

Complete.

As has been noted in correspondence from NARA, CIA records officers have been vigilant with regard to submitting disposition requests for new records series over the 50-year history of this agency. In the course of populating CATDB and deploying PERM, each IMO will confirm the disposition, or lack thereof, for each record series that exists in his/her respective component.

[REDACTED]
[REDACTED] New records series will be submitted to NARA for a disposition determination.

• Recommendation III/3:

Ensure that all staff is familiar with the schedules that cover the records they accumulate.

CIA Response:

Complete.

The proper creation, preservation and disposition are covered in the training modules more fully described above under our response to Recommendation I/3. The Agency File Plan, the standard for organizing records in CIA, incorporates the prevailing GRS and Agency specific disposition authorities. As such, appropriate disposition is determined and applied consistently by use of this standard. The act of filing a document in accordance with the Agency File Plan marks the record with its disposition. Users can see both the description and retention period of any file under the Agency File Plan. The ERKS certification process also mandates the use of the Agency File Plan in order for an Automated Information System (AIS) to qualify as an approved electronic recordkeeping systems. Hence, records in these systems are similarly marked with the appropriate disposition.

- Recommendation III/4:

Work with NARA in the development of a revised schedule for DO operational project files; use this schedule as the basis for written guidance that is provided to those who review and/or process older operational files.

CIA Response:

We are currently reviewing the proposed SF-115 for Operational Activity files. A formal CIA response regarding this item will be sent to NARA shortly.

- Recommendation III/5a:

Ensure that all staff that create or maintain records are familiar with and properly apply existing agency guidance pertaining to what is a record and the record status of working files, [REDACTED]

CIA Response:

Please see our Response to Recommendation III/5b, below. Specifically, OIM will promulgate an Employee Bulletin with respect to the appropriate use and disposition of "working files" once language for that series has been finalized. The IMO will be able to monitor the proper categorization of records, including those designated as working files, through the PERM records management application. [REDACTED]

- Recommendation III/5b:

Modify the description of working files included in the agency schedules so it incorporates the guidance in this regulation.

CIA Response:

CIA has offered suggested language describing working files in a letter to NARA, dated 26 April 2001. After agreement is reached between NARA and CIA, OIM will disseminate instructions to all CIA employees on the appropriate use and disposition of working files. All references in Agency schedules will be modified in accordance with the new item. Furthermore, Agency employees will receive training on this subject with the implementation of the Agency File Plan and PERM.

- Recommendation III/6:

Treat as chron files only copies of outgoing correspondence maintained for ready reference. Chron files that are used as finding aids to other records should be disposed of or retained as indexes in accordance with NC1-263-85-1, Item 1e.

CIA Response:

The OIM records management instruction (see our Response to Recommendation I/3, above) cautions all users to seek guidance from OIM vis-à-vis the disposition of any information collection. The component IMOs provide guidance to component personnel, especially secretaries and registry personnel on the management of chron files. As with the validation of the proper use of working files, the IMO, via the PERM records management application, will monitor the use of electronic chron files.

- Recommendation III/7:

Continue the project to apply correct schedule items to ARC accessions improperly retired as permanent; include NARA review as part of the process.

CIA Response:

Complete.

(b)(3) As mentioned above, under our response to Recommendation II/6, the ARC initiated a quality control checklist to ensure that jobs retired to the ARC are assigned the proper RCS. Issues or challenges of misapplication of RCS items to retired jobs will be forwarded to the Agency Archival Review Team (AART) for resolution. The AART, as described [] is comprised of the Agency senior directorate IMO's who will recommend to the Director, OIM, changes, if any, to a RCS assigned to records retired to the ARC. The Director of OIM will, as appropriate, request an additional review of the questioned material by NARA.

• **Recommendation III/8:**

Work with NARA to develop transfer instructions for permanent records that reduce the age at which CIA records are typically accessioned by NARA, provide for the transfer of entire series (or chronological segments thereof), and take into account CIA plans to review files for declassification electronically.

CIA Response:

Complete.

Under Executive Order 12958, we are currently reviewing for declassification all permanent records that are 25 years old and older. This review will enable us to identify all collections that can be transferred to NARA in less than 50 years.

• **Recommendation III/9:**

Work with NARA to develop a timetable for the transfer of specific files to the National Archives, with the goal of transferring by the year 2003 most permanent files cut-off prior to 1961.

CIA Response:

Complete.

As mentioned in our response to Recommendation III/8, above, we already are examining for transfer to NARA those permanent records originated prior to 1961, in compliance with Executive Order 12958. This is the most efficient, orderly, and cost effective way to examine for transfer our permanent record holdings. We will identify permanent materials that no longer have business value to the Agency for expedited transfer to NARA. Concomitant with this exercise, the Director, Office of Information Management, on 19 March 2001, sent to all Deputy Directors, a memorandum requesting the identification for consideration of transfer (to NARA) all 50 year-old and older CIA records (Attachment J).

• Recommendation IV/1:

Comply with NARA guidance contained in 36 CFR 1234 when electronic systems are developed, maintained, or upgraded. Of particular importance is the need to include migration strategies as part of the life cycle planning for electronic systems design and implementation.

CIA Response:

Complete.

The agency-wide implementation of the Electronic Recordkeeping System Requirements (ERKS) for Information Management System Certification complies with the guidance contained in 36 CFR 1234. Guidance contained in the Code of Federal Regulations (CFR) and in the NARA endorsed DoD 5015.2 Standard for Records Management Applications served as the basis for defining the ERKS process. The ERKS certification requires, among other conditions, testable system functionality to ensure the integrity and inviolability of electronic records. The certification process also requires a realistic and achievable migration plan for electronic records whose retention

is longer than the expected life of the system in which they are maintained.

- Recommendation IV/2:

Ensure that the major new systems ERMPO and individual Directorates are developing can fully meet the needs they were designed to satisfy.

CIA Response:

Complete.

See replies for Recommendations IV/2a through IV/2c, below.

- Recommendation IV/2a:

Include in PERM the capability for creators and recipients of e-mail to designate whether messages are record, non-record, or personal.

CIA Response:

Complete.

PERM does have the ability to designate e-mail as record, non-record, or personal. On 15 March 2001, the PERM application and functionality was shown to NARA representative, Mr. David Langbart. A copy of the PERM application users guide is enclosed. (Attachment K).

- Recommendation IV/2b:

Ensure that SMART has the capability to retrieve special media records in the ARC.

CIA Response:

Complete.

The SMART system, at present, only tracks box locations of retired records held at the ARC.

However, the AIRRS database, a companion application to SMART, has the ability to identify index entries (description of records in a retirement job held at the records center) according to media type. AIRRS will be subsumed into the new release of "SMART II." The new Smart application will include box tracking functions as well as box descriptions including folder number, folder title, and media inherited from the AIRRS database. On 15 March 2001, OIM provided NARA representative, Mr. David Langbart, with a demonstration of the AIRRS database functionality and the ability for the IMO to specify media type on retirement jobs.

- Recommendation IV/2c:

Ensure that all documents in series (except documents that by their nature cannot be converted, e.g., bulky enclosures) are included in MORI. Ensure that systems are compatible with standards developed for the entire Intelligence Community.

CIA Response:

Complete.

MORI maintains the documents released to the public, for example, under FOIA and Executive Order 12958 mandatory requests. The documents in MORI are copies of the original records that continue to be maintained within the file series of which they are a part. Unless a request was for an entire record series, MORI would contain only those documents (normally a subset from one or more record series) released in response to the inquiry. On 29 March 2001, OIM provided a demonstration of MORI and the material maintained therein to NARA representative, Mr. David Langbart.

- Recommendation IV/3:

Disseminate the Agency e-mail regulation to all Agency staff who use e-mail and monitor its implementation. Update this issuance as NARA develops new

guidance concerning the maintenance and disposition of e-mail.

CIA Response:

Complete.

CIA already has established procedures for the capture and appropriate use of e-mail records, documented in Agency regulations. These regulations were disseminated to all employees. The regulations are on-line in Agency regulatory databases available to CIA employees. In addition, the appropriate capture of e-mail as a record continues to be articulated in training and periodic reminders (see our response to Recommendation I/3, II/1 and II/1a, above). The PERM records management application provides users with an easy way to capture e-mail in its native form.

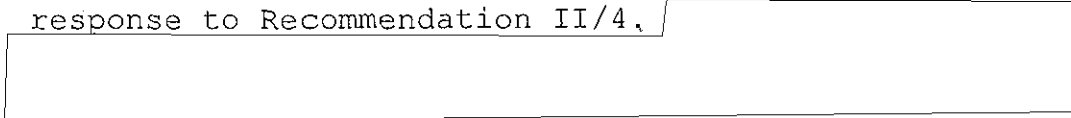
• Recommendation IV/4:

Complete the centralized catalog project so the Agency will have a comprehensive, Agency-wide inventory of electronic records. After the centralized catalog is completed, implement measures to keep it current as additional systems are developed.

CIA Response:

Complete.

CATDB has been redesigned and a deployment schedule has been developed. IMOs already have been instructed to populate CATDB, and substantial progress has been made in two of the five Agency directorates. The population of CATDB is a mandatory condition in the new IT Streamlining process mentioned above in our response to Recommendation II/4.



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- Recommendation IV/5:

Using the centralized catalog data as well as pre-existing inventories and lists, work with NARA to initiate and carry out a project to ensure that all CIA electronic record systems are eventually covered by NARA-approved schedules.

This effort should begin as soon as possible, using existing inventory information, and should encompass the review and coordination with NARA of housekeeping systems to determine which are covered by the GRS and which are not. Develop schedules for non-GRS records, beginning with those that pertain to CIA's core missions and are the most likely to be appraised as permanent.

CIA Response:

Complete.

As explained above, in our Response to Recommendation IV/4, above, CATDB is being populated. Each system entered into CATDB must identify a disposition authority to cover the records maintained in that system. Records and/or systems for which there is no prevailing GRS or Agency records control schedule will be described (on Standard Form 115) and sent to NARA for a disposition authority. In conjunction with the CATDB population, OIM has initiated an annual ERKS certification program to identify all AIS systems that must be certified against this Agency standard. The certification process requires the system owner to be able to identify, designate and preserve the record (maintained in that system) through the record lifecycle.

- Recommendation V/1:

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[Redacted]

CIA Response:

Complete.

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- Recommendation VI/1:

Issue specific guidance concerning the creation, maintenance, and disposition of non-textual records that incorporates NARA guidance. This can be done either through a separate issuance or by incorporating guidance into the appropriate records management regulation [Redacted]

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[Redacted]

CIA Response:

Complete.

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[Redacted]

[Redacted] On 28 February 2001, OIM issued an Employee Bulletin entitled "Non-Textual Records Preservation" which provided specific guidance on disposition, creation and maintenance of non-textual records.

- Recommendation VI/2:

Use formats that conform to 36 CFR 1232.30 for permanent and unscheduled video recordings.

CIA Response:

Complete.

As mentioned in our Response to Recommendation VI/1 above,

[REDACTED]

[REDACTED] OIM, in February 2001, issued an Agency-wide Employee Bulletin entitled "Non-Textual Records Preservation," to provide specific guidance in disposition, creation and maintenance of non-textual records. The Employee Bulletin refers employees to the component or Directorate IMO for any questions of preservation, migration of records, and transfer of inactive records to the Agency record center. Records transferred to the ARC, including video recordings, will be inspected for compliance with prevailing archival practices. (See our responses to Recommendations II/6 and II/7, above).

- Recommendation VI/3:

Inventory non-textual records and develop schedules for all unscheduled series as well as specific schedule items for certain major collections now covered by generic authorities as identified in this report [REDACTED]

CIA Response:

Complete.

The Agency IMOs periodically conduct full or partial inventories of component holdings that would identify non-textual records not covered by an existing disposition authority. As mentioned in our responses to Recommendations III/2, IV/4 and IV/5,

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each IMO will use [] the CATDB to identify any record series, textual and non-textual, for which there is no applicable RCS. The IMO would prepare and send to NARA a Standard Form 115 describing the system(s) and/or record series and proposed disposition.

- Recommendation VI/4a:

Modify schedules to accelerate the transfer of non-textual records to NARA custody.

CIA Response:

Complete.

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- Recommendation VI/4b:

Immediately transfer the OSS map collection to NARA.

CIA Response:

Complete.

Our records indicate that we transferred to NARA 105 cubic feet of permanent material on 23 April 1985, Accession Job NN3-226-85-2. Included among these records were: Entry 151 described as ½ cubic feet of OSS Map Records, SF 115 Item No. 83, bearing no CIA Job Number.

The OSS Map Collection was one of nine bodies of permanent OSS records, identified in your letter of 12 March 2001, as yet to be transferred to NARA. We

are addressing this issue in separate correspondence you will receive shortly.

• Recommendation VI/5:

Develop and implement a plan to preserve non-textual series that must remain in CIA custody for more than 10 years. Include upgrading storage conditions in the ARC to meet NARA standards for the storage of permanent non-textual records, copying permanent records maintained on obsolete media to contemporary formats, and the review of the ARC's non-textual holdings to identify accessions in need of preservation action. Particular attention should be paid to locating non-textual records contained in accessions retired to the ARC prior to 1978.

CIA Response:

Complete.

As mentioned above in our response to Recommendations II/6 and II/7, OIM already has instituted a process to ensure that all record series are properly preserved. Guidance on disposition and preservation consistent with current Federal requirements was re-issued [redacted]

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[redacted] Additionally, on 28 February 2001, an Employee Bulletin was issued on "Non-Textual Records Preservation." Processes such as the ARC use of its checklist are now in place to ensure that permanent records are properly preserved. This includes provisions to migrate records to archival medium. Also mentioned in our response to Recommendation II/7 above, is the OIM initiative to examine all textual and non-textual permanent holdings at the ARC to ensure that records meet prevailing preservation standards. The system inventories that will be done [redacted] the review of CATDB systems, and the examination of records practices in conjunction with the deployment of PERM will identify any permanent, non-textual materials held outside the ARC that require actions to safeguard

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their integrity, stability, authenticity, form, format and continued readability.

In February 2000, OIM identified all of its microfilm stored at the ARC and, in accordance with Federal guidelines, sampled the film for evidence of any deterioration. All permanent film is in the ARC "cool room" which meets prevailing Federal temperature and humidity standards for this medium. ARC staffers perform temperature and humidity data analysis to ensure the humidity and temperature environment remains constant.

Over the past three years, the ARC has undergone renovations costing several hundreds of thousands of dollars to meet prevailing fire and safety standards required of records centers.

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EMPLOYEE BULLETIN



15 January 2001

~~(U//FOUO)~~ RECORDS RESPONSIBILITIES OF EMPLOYEES AND MANAGERS

(U) The National Archives and Records Administration requires us to periodically remind employees, particularly during a change in Administration, of certain records management responsibilities.

- Each employee, regardless of rank or position, has an official responsibility to create and maintain the records, electronic and non electronic, needed to document the activities of the component to which he or she is assigned.
- These records would include cables, memoranda, e-mail, meeting minutes, instant messaging, audio and video recordings, and speeches.
- Prior to leaving the Agency, employees should ensure that the records they have received or created are in an approved recordkeeping system.
- Duplicate copies that employees have maintained in their offices for reference purposes should be destroyed.
- Employees leaving the Agency are reminded that no official materials, including copies, whether or not classified, are to be removed from Agency facilities without authorization.
- An employee may take information of a purely personal nature not associated with official Agency activities when departing CIA and public service.

~~(U//FOUO)~~ If you have any questions regarding the retention of federal records, please consult with your Directorate (DA/IMO - DI/IMO - DO/IMO DST/IMO DCI Area/IMO - or component Information Management Officer Chief Records and Classification Management Group, Office of Information Management

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C



February 5, 2001 [REDACTED]

Headlines: (U//~~AFIO~~) Records Responsibilities of Employees and Managers

(U//~~AFIO~~) **Records Responsibilities of Employees and Managers**

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(U//~~AFIO~~) An employee may take information of a **purely personal nature** not associated with official Agency activities when departing CIA and public service.

(U//~~AFIO~~) If you have any questions regarding the retention of federal records, please consult with your Directorate or component Information Management Officer or [REDACTED]

[REDACTED] Chief/Records and Classification Management Group, Office of Information Management [REDACTED] *(This is UNCLASSIFIED)* [REDACTED]

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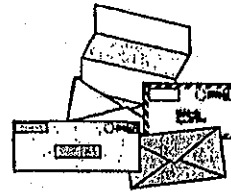
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E-Mail Quick Reference Guide



E-MAIL MUST BE RETAINED WHEN THEY:

- are made or received by the Agency and
- show the formulation and execution of basic policies and decisions and any associated actions; or
- are minutes of meetings related to any Agency activity; or
- facilitate action by Agency officials and their successors; or
- report Agency activities or business to Congress and other legal entities;
- protect the financial, legal, and other rights of the Agency and of persons directly affected by the Agency's actions, or
- transmit, through attachments, record information.

EXAMPLES OF E-MAIL WHICH SHOULD BE RETAINED ARE:

- substantive comments on draft memoranda or analyses;
- documentation of Agency decisions and commitments reached orally;
- information of value about Agency activities and significant programs;
- information that adds to understanding of Agency operations and responsibilities; or
- official command channel communications.

For additional information, [redacted] contact your component or Directorate Information Management Officer (IMO).

MANAGING THE DISPOSITION OF E-MAIL:

E-mail must be retained in accordance with official Record Control Schedules. Contact your component IMO or Directorate IMO to help you determine the retention schedule for your e-mail.

E-mail which need not be kept for longer than 30 days may be kept in electronic form and deleted when no longer needed.

E-mail which must be kept for longer than 30 days shall be printed to paper and kept in a paper recordkeeping system. A copy of these records should be maintained in their electronic form to facilitate their transfer to an electronic recordkeeping system.

PRINTING E-MAIL

When printing e-mail that must be retained, the following steps should be followed:

- ☒ print the E-mail, and all attached documents including hidden text;
- ☒ print any return receipt you received for the message; and
- ☒ file the message and receipt information in an appropriate hardcopy file.

REMEMBER THAT:

 The Agency E-mail system is for official or Agency approved uses

 E-mail must be properly classified and portion-marked.



 E-mail is subject to search and retrieval for legal or investigative purposes, including requests pursuant to the Freedom of Information Act and the Privacy Act.

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New Permanent Retirement Job
Quality Control/Preservation Checklist

Date _____

Retirement Job Number _____

- Number of Cubic Feet _____ - -

Containers within 35 lb. limit? Y/N

Shelf list agreement with boxes submitted? Y/N

Acid-free boxes? Y/N

Service by box? Y/N

If service by box only, has IMO certified preservation? Y/N

Service by folder? Y/N

Folders numbered in sequential order in all boxes? Y/N

Record Preservation (Service by folder jobs only)

Acid-free folders in all boxes? Y/N

Removal of paper clips, metal fasteners, plastic bindings, and rubber bands? Y/N

Photos/newspaper clippings in polyester sleeves? Y/N

Thermofax and mimeograph documents replaced with photo copy? Y/N

Only acid free spacers in containers? Y/N

Is magnetic or film media in plastic or non-corrosive metal containers? Y/N

Reviewed by _____

Time for Review: _____ hours _____ minutes

UNCLASSIFIED

H

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EMPLOYEE BULLETIN

28 February 2001

(U) NON TEXTUAL RECORDS PRESERVATION

(U) The National Archives and Records Administration (NARA) has determined that the Agency Archives and Records Center (AARC) meets the Federal standards to ensure that records maintained at the AARC are properly safeguarded and preserved. The AARC not only maintains a controlled environment but also periodically reviews film and other non textual media for signs of potential deterioration.

(U) NARA requires that Agency component managers, who permit component records to be stored outside of the AARC or at another NARA approved facility, be advised of their responsibilities to properly maintain and preserve official business records in accordance with Federal regulations .

(U) Of particular concern to NARA is the preservation of non textual records, including: microfiche; microfilm; motion picture film; photographs; imagery; film stripes; sound and video recordings; posters and other graphic works; multimedia productions with related finding aids; and x-rays. Each of these media requires appropriate handling and storage in order to preserve the information contained therein. Agency offices that store non textual media in their areas or with another storage provider (other than the AARC) are reminded to ensure that:

- Audiovisual media records are stored in a facility where the temperature does not exceed 70 degrees Fahrenheit and relative humidity is below 50 percent. (Lower temperature and humidity levels prolong the useful life of these records.)
- Film records requiring long-term retention be of the polyester-based silver gelatin type as opposed to cellulose-acetate film which deteriorates over time.
- Equipment intended for projection or playback of all non textual media be in good working order.
- Permanent audiovisual records be inspected every two years for damage or deterioration.
- All photographs are placed in inert plastic sleeves. (Inert plastics and other storage

materials are described in ANSI/NAPM IT9.11-1998 standard.)

- All media is packaged in inert plastic, non-corroding metal, or acid-free paper based containers.
- Silver gelatin originals are separated from non-silver reference copies and, if necessary, stored off-site of the customer premises.

(U//~~ABO~~) Component managers may wish to consider using the AARC to store non textual materials which they now maintain within their office or other facilities under their control. Questions regarding the preservation of non textual media can be addressed to AARC personnel on secure extension [REDACTED] or to your Directorate or component Information Management Officer.

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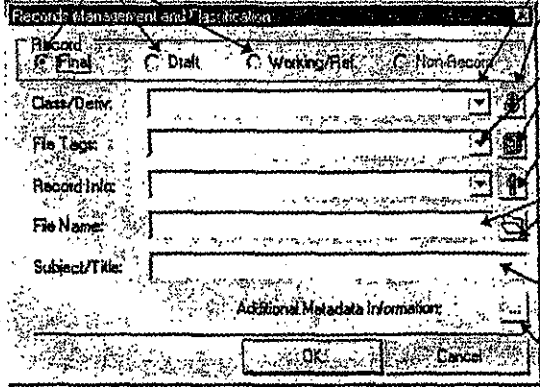
1 Launch PERM

Deposit documents and Lotus Notes into PERM that have continuing value to you, your workgroup, or the Agency.

There are several ways to start the PERM application including:

- From within Lotus Notes, Click Advanced Classification and Knowledge Management
- From within MS-Word and Excel, select "PERM" from the menu, then select "File to PERM Repository".
- From the desktop, double click the PERM icon 
- From the NT Explorer:
 - "Drag and Drop" the record from the Explorer window to the PERM icon, or
 - "Send To" command on the Explorer window

When PERM is invoked, the Records Management and Classification dialogue box appears.



The dialog box is titled "Records Management and Classification". It contains several fields and buttons:

- Select record status***: A button at the top left.
- Select/Launch Classification***: A button at the top right.
- Select/Launch File***: A button below the classification button.
- Apply Record Information†**: A button below the file button.
- Specify/Browse file†**: A button below the apply button.
- Enter the Subject/Title†**: A button below the specify button.
- Add Optional Information**: A button at the bottom right.

The dialog box also contains the following fields:

- Record**: A dropdown menu with options: Final, Draft, Working/Rel, Non-Record.
- Class/Descr**: A text field.
- File Type**: A text field.
- Record Info**: A text field.
- File Name**: A text field.
- Subject/Title**: A text field.
- Additional Metadata Information**: A text area.
- OK** and **Cancel** buttons at the bottom.

*User-entered, required fields

†System defaulted or user entered

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OIM 01-0506
19 March 2001

MEMORANDUM FOR: Executive Director
Deputy Director for Administration
Deputy Director for Intelligence
Deputy Director for Operations
Deputy Director for Science and Technology

(b)(3) FROM:
Director of Information Management, DA

SUBJECT: (U) Identification of Agency Permanent
50-year-old Records for Transfer to the
National Archives

1. (U//~~FOUO~~) Action Requested: Your support and assistance is requested to identify Agency permanent records in your Directorate that are dated prior to 1953. This request is in support of an agreement between the Agency and the National Archives and Records Administration (NARA) that Agency permanent records will be transferred to NARA when they become 50 years old unless the DCI determines that continued Agency retention is required.

2. (U//~~FOUO~~) Background: By law, every Federal agency submits to NARA a records control schedule that lists all of its records and identifies which of them it believes should be permanent and which should be temporary and may be destroyed after a period of time. NARA reviews and approves the records control schedule and has done so with respect to Agency records. Most agencies store records not immediately needed at a Federal Records Center, and by law are required to transfer permanent records to NARA when they become 30 years old. The Agency does not send its records to Federal Records Centers but rather sends them to the Agency Archives

Unclassified//~~FOUO~~ when
Separated from Attachments

~~SECRET~~//~~K1~~

SUBJECT: (U) Identification of Agency Permanent
50-year-old Records for Transfer to the
National Archives

and Records Center (AARC). In addition, CIA negotiated an agreement with NARA to retain our permanent records for 50 years rather than 30 years before transferring them to NARA for classified storage as appropriate.

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SUBJECT: (U) Identification of Agency Permanent
50-year-old Records for Transfer to the
National Archives

(b)(3)
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7. (U) Please direct any questions on this activity
to [REDACTED] OIM/ODC, [REDACTED] or your Directorate
IMO. Thank you for your assistance in this matter.

(b)(3)



Attachments:

- A. Listing of Permanent Records
Stored at the AARC
- B. Listing of Permanent Records
Control Schedule Items
- C. Form Letter for Submitting
Response to this Request
- D. Agency Transfer Plan